Senate Document SD 97-21
(Approved, 4/13/1998)

MEMORANDUM

TO: Fort Wayne Senate

FROM: Downs, Chair
Faculty Affairs Committee

SUBJECT: Revisions to the School of Fine and Performing Arts Promotion and Tenure Document (Amends SD 92-25)

DATE: 23 March 1998

DISPOSITION: To the Presiding Officer for implementation

Whereas, the School of Fine and Performing Arts has amended SD 92-25, "The School of Fine and Performing Arts Promotion and Tenure Policies and Procedures," as outlined in the attached document;

Be It Resolved, that the Senate approve these amendments.

School of Fine and Performing Arts
Promotion and Tenure Document
PROPOSED REVISION
February 22, 1998

Revision Key:

Plain font - unaltered portions of the original SFPA Promotion and Tenure document
Bold = proposed additions to the SFPA Promotion and Tenure Document
Bold underline = **proposed insertions from Senate Documents which cannot be altered.**

Senate Document SD 92-25
Supersedes SD 89-7
(Approved, 4/12/1993)
(Amended, 9/12/1994)

THE SCHOOL OF FINE AND PERFORMING ARTS PROMOTION AND TENURE POLICIES AND PROCEDURES

Preamble

FWSD 88-13 (Amended 12/12/1988 and Amended and Approved 1/16-1/23/1989) charges each school/division faculty (1) to approve department/program promotion and tenure committee composition and functions (Section 1.1) and (2) to establish, with approval by the Senate, school/division promotion and tenure committee composition and functions (Section 1.3). This document is submitted to the Senate pursuant to FWSD 88-13, its provisions are subordinate to it, and revisions to it require Senate review.

The most important decisions in the academic profession, for the individual and for the institution, regard the granting of tenure and the awarding of promotion. The granting of tenure involves a commitment on the part of the University for the working lifetime of the faculty member. Further, promotion may be granted before tenure. Consequently, the granting of tenure is a more serious decision than the award of promotion, as it has a significant impact on the faculty member, the University community, its students, and the citizens of the state.

With tenure a faculty member receives the opportunity to teach, study, and serve for the duration of his/her professional career in a community which protects academic freedom, provides adequate material rewards, and encourages intellectual growth. The university, for its part, benefits from the confident and disciplined pursuit of excellence undertaken by tenured faculty.

The decision to grant tenure, usually made at an early point in a colleague's career and/or after only a relatively short time has been spent at this university, must depend in part on what has been achieved in teaching, research, and service, and, to a greater degree, on what the candidate can reasonably be expected to achieve in these areas in the future. Those responsible for recommendations and decisions regarding tenure must also pay due regard to the mission of the candidate's unit and her/his contribution to it.

The granting of tenure then results from positive university action rather than a legal obligation or a reward; tenure can be acquired only as a result of positive action. In contrast to tenure, promotion in rank is more heavily dependent upon evidence of professional achievement. Considerations of promise of continued development and the candidate=s contribution to the particular mission of her/his unit are also important, but less crucial. The application of criteria in promotion decisions provides evidence of the university's values and the seriousness with which they are applied. Promotions measure, reward, and inspire accomplishment.

1.0 CRITERIA FOR TENURE

1.1 **Tenure at any rank is based upon a record of satisfactory teaching, research/creative endeavor, and service (see promotion and tenure guidelines in Senate Document SD 94-3.**

The award of tenure at the end of the probationary period as an assistant professor is linked to promotion. **This connection is appropriate and even natural.** In many careers the duration of the probationary period and the time needed to build a record in

teaching, research, and service meriting promotion to associate professor are **equal**, and the university can address the separate decisions simultaneously. **Both Indiana and Purdue Universities, however, recognize that in exceptional circumstances these decisions may not be made at the same time and that, although the criteria are the same, the weight assigned to each criterion differs from tenure to promotion.** The university grants tenure and promotion to associate professor in the same year when a candidate meets the criteria established for both. Whenever these decisions are made in different years, however, a recommendation to award tenure is based upon evidence of:

1.1.1. a record of **satisfactory** achievement in teaching, research, and service **as determined by departmental criteria**;

1.1.2. **(for the award of tenure at the rank of assistant professor)** the likelihood of promotion to higher rank in the near future; and

1.1.3. the **unusual** importance of the individual's contribution to the university**, the demonstrated support of the stated missions of the department, school and university, and professional and respectful conduct toward colleagues and students as specified in the school and university handbooks.**

1.2 **Cases for tenure in these exceptional circumstances must address each of these points.**

2.0 CRITERIA FOR PROMOTION

The general bases for promotion in the School of Fine and Performing Arts are: teaching; research/creative endeavor; and service to the candidate's discipline and department, the School of Fine and Performing Arts, the university, and/or the community. A faculty member is expected to achieve excellence in one area and competence in the other two as appropriate to rank proposed and in accordance with department, school and campus guidelines. The area of excellence will be indicated **in the nominee=s statement. Procedures and expectations for obtaining at least three external letters of review addressing the area of excellence are specified in section 3.1 of this document.**

2.1 Teaching

A **candidate** who excels in teaching is **one** who guides and inspires students **and stimulates their intellectual interest and enthusiasm; one who displays a spirit of scholarly inquiry which leads him/her to develop and strengthen courses content in the light of developments in the field, as well as to improve methods of presenting material.** Such a faculty member keeps informed about new developments in his or her area of expertise and strives continually to broaden and deepen his or her knowledge and understanding.

2.1.1 An outstanding teacher continually contributes to improving methods of teaching his or her subject matter. Indicators of excellence in teaching could include scholarly relationships with students, creativity in the classroom,

opportunities provided **to** students for independent study, results of standardized classroom achievement tests, or pre-course -- post-course assessment. Other important contributions to excellence in teaching may included**, but are not limited to,** curriculum development, development or use of instructional technology, teaching of various sizes and levels of classes, graduate program involvement, thesis direction, independent project direction, or influence as a teacher that extends beyond the local area, usually through publications, lectures, workshops, and other appropriate activities.

2.1.2 **The evaluation of teaching shall include written evaluations by the chairperson and course evaluations by students. Other forms of documentation may include, but are not limited to, self-evaluation, evaluation of syllabi and teaching methods and materials, audio visual tapes of teaching, exit interviews, alumni evaluation, peer evaluation, record of student accomplishments, outside professional evaluation, and unsolicited communications.**

2.2 Research, Scholarship, and/or Creative Endeavor

2.2.1 **A candidate who excels in research is involved in scholarly or creative endeavor appropriate to the candidate=s discipline. The results of the research should have been evaluated by authorities in the field.** Distinguished creative work appropriate to the area of specialization is carried out and the results are disseminated by exhibition, performance, publication or other appropriate methods. **Expectations are for work off-campus in northeast Indiana, and/or at the state, regional, or national level appropriate to the rank and according to departmental guidelines.**

2.2.2 Specific arrangements should be made according to campus and department guidelines for external evaluation of representative creative work, published materials, performance, lectures, works of art, or creative writing. Level of competence or excellence for each case will be indicated in accordance with department and campus guidelines. **Procedures and expectations for obtaining at least three external letters of review addressing research/creative endeavor are specified in section 3.1 of this document.**

2.2.3 Other evidence may be included, such as peer evaluation of creative endeavor or written public response to creative endeavor.

2.3 Service

2.3.1 **A candidate who excels in service contributes in one or more of the following areas: Institutional service, professional service to the community, or service to the profession. The evaluation of service should be supported by evidence drawn from various sources.**

2.3.2 To establish competence in service, a faculty member should have participated in appropriate activities and necessary committee work of the department, the School of Fine and Performing Arts, and the university in accordance with department and campus guidelines.

2.3.3 A faculty member may excel in institutional service or professional service. Excellence may be achieved by the display of leadership in academic and other university affairs. A significant contribution may be made as an officer of a professional, technical, or scholarly society **in northeast Indiana, and/or at the state, regional, or national level appropriate to the rank and according to departmental guidelines.**

2.4 **Application of Criteria to Different Ranks**

2.4.1 When considered for promotion, the individual should be assessed in light of all three criteria from sections 2.1, 2.2 and 2.3 above. Favorable action shall result when the individual has demonstrated, in one area of endeavor, a level of excellence appropriate to the proposed rank. Failure to promote may arise, however, from unsatisfactory performance in the other areas.

2.4.2 Promotion to Assistant Professor

Promotion to Assistant Professor is based upon a strong academic record, and the individual should have in most cases completed a terminal degree. There should be clear indications that the individual possesses those qualities which will eventually assure promotion to the rank of Associate Professor.

2.4.3 Promotion from Assistant Professor to Associate Professor

Promotion to Associate Professor is based upon actual performance and the potential for continued professional growth. Criteria are based upon department promotion documents and must reflect state and/or regional recognition.

2.4.4 Promotion from Associate Professor to Professor

Promotion to Professor is awarded to individuals recognized by professional peers as authorities in their fields. It is expected that candidates will have made important and recognized contributions in at least one of the areas: teaching, research and service. Candidates will be recognized and respected in state, regional, or national educational and professional circles. Criteria are based upon department promotion documents and must reflect national recognition.

3.0 PROCEDURES

Nominations

Each faculty member must be considered for tenure **no** later than during the penultimate year of the contractual probationary period. **Exceptions are discussed in the addendum, which includes Senate Document 91-92.**

Development of the Case

Each candidate must prepare a case document for Promotion or Tenure in accordance with The Faculty Promotion and Tenure Dossier Format, Office of Academic Affairs Memorandum No. 93-1, April 1994 (supersedes OAA Memorandum 89-2), or subsequent revision.

3.1 External Review Letters

3.1.1 Evaluations: Each promotion or tenure dossier shall include letters of reference secured for the occasion from individuals external to the campus. A minimum of three letters should address research/creative endeavor. Additional evaluations should address teaching or service if one of these is the candidate's proposed area of excellence. A minimum of three letters should address the proposed area of excellence. Evaluators with the knowledge to assess multiple areas may do so.

3.1.2 Evaluators: The outside evaluators shall have the knowledge and distinction sufficient to create an informed and trustworthy assessment.

3.1.3 Materials to be evaluated: The candidate shall identify the materials to be submitted to outside evaluation. Materials related to research and creative endeavor may include published and unpublished matter, refereed or not, and are to be so identified. Reasonable procedural adaptations will be made for candidates whose creative endeavor is of an ephemeral or participatory nature.

To inform the evaluator, these materials must be accompanied by the candidate's current curriculum vitae and a statement of the applicable department, division, and school criteria.

In a tenure dossier, materials may have been completed before and during the probational period at IPFW.

In a promotion dossier, the materials must have been completed during the period since any previous IPFW promotion.

Materials may include work completed previous to employment at IPFW to demonstrate growth, breadth and depth of research/creative endeavor.

3.1.4 Selecting the outside evaluators: The candidate shall submit to the department chair a written list of evaluators' names including information about their positions and any prior association. The chair, in consultation with the dean, will provide names of additional evaluators. The candidate and the chair shall agree upon the list of potential evaluators to which invitations will be sent. The above process will be repeated until at least three evaluators are chosen, approved by the dean, and agree to serve.

3.1.5 Securing the evaluations: The chair shall send each evaluator a standard letter specifying that the evaluator=s identity cannot be kept confidential, and including the candidate's curriculum vitae. Upon receiving agreement of the evaluator to serve, the chair shall send the materials to be evaluated.

3.1.6 Using the evaluations: As the outside evaluations are received, the chair shall provide them to the candidate for inclusion in the dossier.

3.1.7 Information to be included in the external review section of the case:

3.1.7.1 The relationship between the candidate and the person writing the external letters shall be explicit and clear (friends, colleagues, former dissertation advisor, etc.).

3.1.7.2 The qualifications of the external reviewer shall be specified. What makes this person qualified to render an opinion on the scholarly/creative work of the candidate?

3.1.7.3 The manner in which the external reviewers were selected shall be clearly stated. They shall be solicited by the chair after consultation with the candidate and approved by the dean.

3.1.7.4 A copy of the actual solicitation letter shall be included in the case to clarify what the external reviewer was asked to do and the criteria applied.

3.2 Recommendations and Additional Procedures

Complete format is available from the Office of Academic Affairs Memo No. 93.1, April 1994. See the addendum of the School document for additional information.

3.21 Please see Office of Academic Affairs Memo No. 93.1, April 1994 for additional recommendations.

4.0 DECISION LEVELS*:* Nominations for promotion and/or tenure shall be considered at several levels. The preponderance of the evaluation of a candidate shall occur at the first level. See Senate Document #92-25.

4.1 Submission of the Case
All cases for promotion and tenure shall be forwarded to the **Department** Committee by the stipulated date.

4.2 Individual Participation

4.2.1 No person shall serve as a voting member of any committee during an academic year in which his or her nomination for promotion or tenure is under consideration, nor shall any individual make a recommendation on his or her own promotion or tenure nomination.

4.2.2 The department/program level excepted, no individual shall serve in a voting or recommending role at more than one decision level. In order that this be accomplished, the campus committee shall be filled before school/division committees. In the event that the chief academic officer of a department, program, school, or division serves as ex-officio members of a committee, then that person shall not vote during that committee's deliberations and decisions.

4.3 The administrator or committee chair at each level shall inform the candidate in writing of the vote or recommendation on the nomination, with a statement of the reasons. Therefor, at the time the case is sent forward to the next level. the administrator or committee chair shall also send a copy of the recommendation and statements of reasons to the previous level(s). The candidate has the opportunity to provide written response at all levels within the school which will be forwarded with the case.

4.4 The deliberations of committees at all levels shall be strictly confidential, and only the chair may communicate a committee's decision to the candidate and to the next level. Within the confidential discussions of the committees, each member's vote on a case shall be openly declared.

4.5 The department/program committee, whose composition and functions shall be established according to a procedure adopted by the faculty of the department/program and approved by the faculty of the school/division. The Senate shall have the right to review of this procedure. The department/program committee shall follow procedures established by the faculty of the school/division or, in the absence of such procedures, by the Senate.

4.5.1 In establishing their committees, departments should be guided by two principles: that all full-time tenure-track members of the department should be consulted about each case for promotion and tenure: and that those persons possessing the same or higher rank or the status to which a candidate aspires should have major responsibilities in formulating the department's recommendations, where possible.

4.5.2 The appointment letter of a faculty member to more than one academic unit shall identify that department/program whose tenure/promotion process shall apply to the appointee.

4.5.3 The **Department** Committee shall conduct an open ballot on each promotion case and on each tenure case. A simple majority of the ballots cast shall constitute a positive recommendation by the committee. The committee chair shall record the result of the balloting and append it to the case. The department chairperson shall recommend or not recommend the candidate. Within five instructional days of the vote, and before the case is forwarded to the School Committee, the department chairperson shall advise the nominee in writing of the outcome of the balloting and of the chairperson's recommendation. The only cases which may not be withdrawn at this time are tenure cases in the penultimate year. The remaining cases shall be forwarded to the School Committee.

4.5.4 The candidate may be offered the opportunity to revise or edit the document before the committee's final review and submission to the school committee.

4.5.5 The candidate has the opportunity to provide written response to the committee's final review which will be forwarded with the case.

4.6 The chief academic officer of the department/program (the department chair*)*

4.7 The school/division committee(s), established by the school/division faculty, incorporated into the documents which define the procedures of faculty governance within the school/division, and approved by the Senate. This procedure shall be periodically published, simultaneously with the Bylaws of the Senate, as and when the Bylaws of the Senate are distributed.

4.7.1 Nothing in this document shall be construed as requiring a school or division without departments to perform a second review and make a second recommendation on promotion and tenure cases; however, when such a review and recommendation are made by a committee, the committee shall be constituted in such a way that a majority of its voting members will not have served on the first committee.

4.7.2 The members of the School Committee shall be elected by the voting faculty of the School of Fine and Performing Arts according to procedures established by that faculty as articulated in SFPA "Governance Document," 93-1, **revised 5/96**. At least one-half of the membership of the School Committee shall consist of faculty without administrative appointment. The committee shall elect a chair

from the voting faculty members. The Dean of the School of Fine and Performing Arts shall serve ex-officio, without vote, except when the committee is considering that person's candidacy for tenure or promotion. Department chairs may not serve in the years when cases from their respective departments are being presented, except in such case as the eligible voting members in that department be too few, in which case the chair could serve at the specific request of the department.

4.7.3 The School Committee shall conduct an open ballot on each promotion case and on each tenure case. A simple majority of the ballots cast shall constitute a positive recommendation by the committee. The chair of the committee shall record the results of the balloting and the recommendation and append them to the case. A written summary supporting the vote shall be drafted and approved by the voting members of the committee. Within **5** working days after the close of the committee business, the recommendations and summary of the committee must be forwarded to the nominee, the department chair, the department committee chair, and with the case to the Dean.

4.7.4 The candidate may be offered the opportunity to revise or edit the document before the committee's final review and submission to the university committee.

4.7.5 The candidate has the opportunity to provide written response to the committee's final review which will be forwarded with the case.

4.8 <u>The chief academic officer of the school/division</u> (the dean of fine and performing arts).

The Dean shall forward a written recommendation and summary to the nominee, the department chair, and the department committee chair **no less than five working days before the university deadline for receipt of the case.** The only cases which may not be withdrawn at this time are tenure cases in the penultimate year. The remaining promotion and tenure cases shall be forwarded to the appropriate campus committee.

4.8.1 The candidate may be offered the opportunity to revise or edit the document before the dean's final review and submission to the university committee.

4.8.2 The candidate has the opportunity to provide written response to the dean's final review which will be forwarded with the case.

4.9 <u>The campus committee</u>, <u>consisting of the Chief Academic Officer of IPFW as nonvoting chair and seven tenured members of the Fort Wayne Faculty, a majority</u>

of whom hold the rank of Professor or Librarian, selected so as to provide balanced representation of the disciplinary areas. Voting members of this committee shall be elected to three-year terms, staggered in the first instance, by the chief Administrative Officer of IPFW and the two Speakers of the Faculty. The committee members will be elected from a panel of nominees composed of at least two representatives from the faculty of each school/division selected according to procedures adopted by the school/division Faculty and incorporated into the documents which define the protocols of Faculty governance within the school/division. Voting members of this committee shall recuse themselves from considering cases of candidates with whom they share significant credit for research or creative endeavors which is part of the candidate's case. Faculty members shall not serve on this committee in a year when their own cases are pending. The purposes of this committee are to review the actions of the earlier decision levels to assure that the candidate is afforded basic fairness and due process in accordance with established university policies and procedures and to assess the adequacy and sufficiency of the evidence.

4.9.1 The Faculty Affairs committee shall conduct a faculty election for three nominees to serve on the campus committee. The slate of candidates will be selected from among tenured faculty of the school. The names of three nominees will be forwarded to the chief administrative officer by the chair of the Faculty Affairs Committee.

4.10 The chief academic officer of IPFW

4.11 The chief administrative officer of IPFW, to forward recommendations to the President of Indiana University and to the President of Purdue University.

Addendum

1. Recommendation from university academic officer and committees:

1.1 Recommendations from former VCAA (3.12)
The single most critical area examined by the committees is the quality and quantity of research/scholarship/creative endeavor. More candidates are unsuccessful on the research/scholarship/creative endeavor criterion than any other, even if the candidate is simply trying to demonstrate "competence@ as opposed to "excellence." Candidates should carefully review their departmental definitions of research/creative endeavor.

1.2 Citation of Accomplishment of Scholarly/Creative Endeavor

1.2.1 Articles cited from refereed journals shall be clearly indicated

1.2.2 Acceptance or rejection rates from these journals shall be indicated.

1.3 Alumni Feedback

1.3.1 If alumni have been solicited, the manner of that solicitation shall be stated.

1.3.2 The number of letters sent out and the number received shall be stated.

2. EXTENSION OF THE PROBATIONARY PERIOD FOR JUSTIFIABLE CAUSE (Senate Document SD 91-92)

Purpose: The academic performance of a probationary faculty member can be adversely affected by extraordinary personal circumstances. Such circumstances might include the responsibility as primary care giver after the birth or adoption of a child, serious personal illness, the provision of care for a seriously ill family member, or any similar situation requiring compassion. Such conditions may warrant deviation from the tenure policy.

To ensure consistency and fairness in determining which conditions are sufficiently justifiable to warrant deviation from the tenure policy, the following guidelines and procedures are recommended:

Guidelines:

1. Ordinarily, an individual may exclude no more than one year from the probationary period for justifiable conditions.

2. Normally, requests for exclusions must be made within one year from the time the conditions occurred which precipitated the request.

3. Exclusions will not be granted after the beginning of the penultimate year.

4. Decisions regarding whether or not requests for exclusions will be granted shall be based on:

a. verification that the conditions leading to the request occurred or continue to occur;

b. verification that the faculty member=s performance prior to the conditions leading to the request warrants an exclusion;

c. confirmation that the conditions for which the request is being made fall within the parameters of those deemed in these guidelines to be justifiable

5. Faculty who have been awarded an exclusion shall have no requirements or expectations beyond those of any probationary faculty member.

6. Work accomplished during the excluded period may be cited in the promotion/tenure case.

Procedures

1. Requests for exclusion shall be made in writing by the faculty member to the Department Chair. The Chair will determine, in consultation with the Departmental Promotion and Tenure Committee, whether the request is justifiable and forward a recommendation through the Dean to the Vice Chancellor for Academic Affairs. The Vice Chancellor for Academic Affairs, in consultation with the faculty's Department Chair and Dean, will have the authority to approve exclusions for justifiable conditions.

2. Requests for exclusions may be made at any time during each academic year up until March 15 of the academic year prior to the penultimate year. Decisions regarding requests will be made within 60 days of the receipt of the request.

3. Any faculty member who feels it necessary to appeal a decision made under the above guidelines and procedures may utilize the grievance procedures established for academic personnel.